

11/10/99  
jc525 U.S. PTO

**NON-PROVISIONAL  
UTILITY PATENT APPLICATION  
TRANSMITTAL - 37 CFR 1.53(b)**

**[ ] Duplicate**  
(check, if applicable)

A  
jc511 U.S. PTO  
09/437948  
11/10/99

Assistant Commissioner for Patent  
**BOX PATENT APPLICATION**  
Washington, DC 20231

**Attorney Docket No. 275-3US**  
**First Named Inventor: Nanning J. Arfsten**  
**Express Mail Label No. EL049287318US**  
**Total Pages of Transmittal Form: 2**

Transmitted herewith for filing is the non-provisional utility patent application entitled:

**Niobium Oxide-Based Layers for Thin Film Optical Coatings  
and Processes for Producing the Same**

which is:

an ☒ Original; or

a ☐ Continuation, ☐ Divisional, or ☐ Continuation-in-part (CIP)  
of prior Application No. / , filed .

☐ This non-provisional patent application is based on Provisional Patent Application  
No. , filed .

Enclosed are:

- ☒ Specification (including Abstract) and claims: 24 pages.
- ☒ Newly executed Declaration (original).
- ☐ Copy of Declaration from prior application.
- ☐ Separate Power of Attorney (including 37 CFR 3.73(b) statement, if applicable).
- ☒ 4 sheets of drawings (formal) plus one copy.
- ☐ Microfiche computer program (Appendix).
- ☐ Under PTO-1595 cover sheet, an assignment of the invention.
- ☐ Certified copy of &@ Application No. &@, filed &@, is filed:  
☐ herewith or ☐ in prior application &@.
- ☒ Verified Statement Claiming Small Entity Status under 37 CFR 1.9 and 1.27.
  - ☐ was filed in the prior non-provisional application, and such status is still proper and desired (37 CFR 1.28(a));
  - ☒ is enclosed herewith; ☐ is no longer desired.
- ☐ Preliminary Amendment.
- ☐ Information Disclosure Statement, PTO-1449, and cited references.
- ☐ Other:

09437948-111099

The filing fee has been calculated as shown below:

			SMALL ENTITY			LARGE ENTITY	
CLAIMS	NO. FILED	NO. EXTRA	BASIC FEE: \$380			BASIC FEE: \$760	
Total	20 - 20 =	0	X9	\$ 0	OR	X18	\$
Independent	4 - 3 =	1	X39	\$ 39	OR	X78	\$
Multiple Dependent Claims Present: 0			\$130	\$ 0	OR	\$260	\$
			<b>TOTAL</b>	<b>\$ 419</b>	<b>OR</b>	<b>TOTAL</b>	<b>\$</b>

The Commissioner is hereby authorized to charge payment of the following fees or credit any overpayment to Deposit Account No. 50-1017 (Billing No.: 200275.0003). One additional copy of this sheet is enclosed.

- ☒ The above calculated filing fee **\$419.00**.
- ☒ Any additional fees required under 37 C.F.R. § 1.16.
- ☒ Any additional fees required under 37 C.F.R. §1.17.
- ☒ If the filing of any paper during the prosecution of this application requires an extension of time in order for the paper to be timely filed, applicant(s) hereby petition(s) for the appropriate extension of time pursuant to 37 C.F.R. §1.136(a).

**CORRESPONDENCE ADDRESS:**

November 10, 1999  
(Date)

By:

  
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WWS/LLC/ARE:are  
Enclosures

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